

10/527191

#4

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:)	Art Unit:
)	
Leif KONGERSLEV)	Examiner:
)	
Serial No.: 10/527,191)	Washington, D.C.
)	
IA Filed: September 10, 2003)	October 13, 2005
)	
For: COLLECTIN-COMPLEMENT)	Docket No.: 1109
ACTIVATING PROTEIN CHIMERAS)	

INFORMATION DISCLOSURE STATEMENT [IDS]

Honorable Commissioner of Patents
and Trademarks
Washington, D.C. 20231

S i r :

This Information Disclosure Statement is submitted in accordance with 37 C.F.R. 1.97, 1.98, and it is requested that the information set forth in this statement and in the listed documents be considered during the pendency of the above-identified application, and any other application relying on the filing date of the above-identified application or cross-referencing it as a related application.

1. This IDS should be considered, in accordance with 37 C.F.R. 1.97, as it is filed:

☐ A. within three months of the filing date of the above-identified national application or within three months of the entry into the national stage of the above-identified international application. See 37 CFR 1.97(b).

☒ B. before the mailing date of a first office action on the merits. See 37 CFR 1.97(b).

☐ C. after (A) and (B) above, but before final rejection or allowance, and Applicants have made the necessary certification (box "i" below) or paid the necessary fee (box "ii"

below). See 37 CFR 1.97(c).

[] i. Counsel certifies that, upon information and belief, each item of information listed herein was either (a) cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this IDS or (b) was not cited in a communication from a foreign patent office in a counterpart foreign application and was not known to any individual designated in 1.56(c) more than three months prior to the filing of this IDS.

[] ii. A check for the fee set forth in 1.17(p), presently believed to be \$180, is enclosed (check no. _____).

[] D. after (A), (B) and (C) above, but before payment of the issue fee. Applicant petitions under 37 C.F.R. 1.97(d) for consideration of this IDS. A check for the fee set forth in 1.17(i)(1), presently believed to be \$130 is enclosed (check no. _____). Counsel certifies that, upon information and belief, each item of information listed herein was either (i) cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this IDS or (ii) was not cited in a communication from a foreign patent office in a counterpart foreign application and was not known to any individual designated in 1.56(c) more than three months prior to the filing of this IDS.

[] E. As a submission in accordance with the transitional procedure for limited examination after final rejection pursuant to 37 CFR §1.129(a). Pursuant to MPEP §706.07(g), page 700-46, col. 2 (February 2000), this IDS is treated as if filed with a period set forth in 37 CFR §1.97(b)

and considered without the petition and petition fee required by 1.97(d).

2. In accordance with 37 C.F.R. 1.98, this IDS includes a list (e.g., form PTO-1449) of all patents, publications, or other information submitted for consideration by the office, either incorporated into this IDS or as an attachment hereto. A copy of each document is attached, except as explained below.

[] While an IDS filed under \$1.97 must contain a "list of all patents, publications or other information submitted for consideration by the Office", see \$1.98(a) (1), the only requirement for the list is that it provide the information set forth in \$1.98(b). There is no requirement that a form PTO-1449 be used (MPEP \$609 merely says that use of this form is "encouraged"). Counsel has used a list provided to him by Applicants, and not transferred the information to a PTO-1449, to avoid the risk of any inadvertent error in transferring the information.

[] A. Documents _____ are deemed substantially cumulative to documents _____, and, in accordance with 1.98(c), only a copy of each of the latter documents is enclosed.

[] B. Certain documents were previously cited by or submitted to the Office in the following prior application(s), which are relied upon under 35 U.S.C. 120:

[insert serial number/filing date]

Applicants identify these documents by attaching hereto copies of the form PTO-892s and PTO-1449s from the files of the prior applications or a fresh PTO-1449 listing these documents, and request that they be considered and made of record in accordance

with 1.98(d). Per 37 CFR 1.98(d), copies of these documents need not be filed in this application. If copies of any of these documents cannot be found in the files of the prior applications, the Examiner is requested to so notify counsel before taking action in this case, so replacement copies can be submitted. While an IDS filed under §1.97 must contain a "list of all patents, publications or other information submitted for consideration by the Office", see §1.98(a) (1), the only requirement for the list is that it provide the information set forth in §1.98(b). There is no requirement that a form PTO-1449 be used (MPEP §609 merely says that use of this form is "encouraged") and no prohibition on submitting a copy of a form PTO-1449 or form PTO-892 from a prior case. Indeed, the re-use of such forms is desirable as it avoids error in transferring the information, and evidences that the reference was considered in a prior application. A previously accepted PTO-1449, or an examiner-prepared PTO-892, necessarily complies with §1.98(b).

[X] 3. Documents AD and AE are not in the English language. In accordance with 1.98(c), Applicants state:

[X] documents AD and AE already contain an English language abstract, summary or claim set.

[X] For documents AD and AE, a corresponding English-language patent or published application is included on the accompanying Form BN/SB/08A, with a line drawn in the margin connecting the non-English-language document with its corresponding English-language document.

[] a publicly available abstract is attached to each of documents _____, and the source of each abstract is indicated thereon.

[] documents _____ are patents or published

patent applications for which counterpart English language patents or patent applications exist, and are enclosed, as follows:

<u>Foreign Lang. Doc.#</u>	<u>English Lang. Doc.#</u>
[insert]	[insert]

[] applicants have prepared an English translation of at least the pertinent portions of documents _____, and copies are attached.

[] A concise explanation of the relevance of documents _____ is found in the attached search report from the _____ Patent Office (see reply to Comment 68 in the preamble to the final rules; 1135 OG 13 at 20).

[] A concise explanation of the relevance of documents _____ is set forth as follows:
[Insert concise explanation of relevance]

4. No explanation of relevance is necessary for documents in the English language (see reply to Comments 67 and 68 in the preamble to the final rules; 1135 OG 13 at 20).

5. Other information being provided for the examiner's consideration follows:

[insert other information]

6. In accordance with 37 C.F.R. 1.97(g) and (h), the filing of this IDS should not be construed as a representation that a search has been made or that information cited is, or is considered to be, material to patentability as defined in §1.56 (b), or that any cited document listed or attached is (or constitutes) prior art. Unless otherwise indicated, the date of publication indicated for an item is taken from the face of the item and Applicant reserves the right to prove that the date of publication is in fact different.

7. The Commissioner is hereby authorized and requested to charge any additional fees which may be required in connection with this application or credit any overpayment to Deposit Account No. 02-4035.

Respectfully submitted,

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Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 1

of

Complete if Known

Application Number	10/527,191
Filing Date	September 10, 2003
First Named Inventor	Leif KONGERSLEV
Group Art Unit	
Examiner Name	
Attorney Docket Number	KONGERSLEV2

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
	AA	US-2003/0162248 A1	08-28-2003	WAKAMIYA	
	AB	US- 6,337,193 B1	01-08-2002	TULLY et al	

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				
	AC	EP 1 008 351 A1	06-14-2000	KAWASAKI, TOSHISUKE		
	AD	WO 99/37676	07-29-1999	SUMIDA, YOSHIHIRO et al		
	AE	WO 99/10001	03-04-1999	ADATI et al		
	AF	WO 01/40451 A2	06-07-2001	JENSENIUS et al		
	AG	WO 00/70043	11-23-2000	THIEL et al		
	AH	WO 02/06460 A2	01-24-2002	JENSENIUS et al		

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
	AI	MATSUSHITA, MISAO et al "The Role of Ficolins in Innate Immunity" Immunobiol. (2002) vol. 205, pp: 490-497	
	AJ	TEIZO FUJITA "Evolution of the Lectin-Complement Pathway and Its role in innate Immunity" Nature Reviews, Immunology Vol. 2, (May 2002) pp:346-383	
	AK	MATSUHITA, MISAO et al "Cutting Edge: Complement-Activating Complex of Ficolin and Mannose-Binding Lectin-associated Serine Protease" Cutting Edge, The Journal of Immunology (2000) pp:2281-2284	
	AL	LU, JINHUA et al "Collectins and ficolins: sugar pattern recognition molecules of the mammalian innate immune system" Biochimica et Biophysica acta 1572 (2002) p: 387-400	
	AM	MATSUHITA, MISAO et al "Activation of the Lectin Complement Pathway by H-Ficolin (Hakata Antigen) " The Journal of Immunology (2002) pp: 3502-3506	

Examiner Signature		Date Considered	
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* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kind Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.